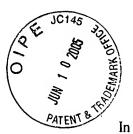
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<u> </u>			10/810,107				
		Filing Date	March 26, 2004				
FORM		First Named Inventor	Renato Staub	Renato Staub			
(to be used for all correspondence after initial	filing)	Art Unit	3627				
		Examiner Name	to be assigned				
Total Number of Pages in This Submission	5	Attorney Docket Number	5333-3				
	ENC	LOSURES (Check all tha	t apply)		- · · · · · · · · · · · · · · · · · · ·		
Fee Transmittal Form Fee Attached Fee Attached Amendment/Reply After Final Affidavits/declaration(s) Extension of Time Request Express Abandonment Request Information Disclosure Statement Certified Copy of Priority Document(s) Fee Attached Licensing-related Papers Licensing-related Papers Petition Licensing-related Papers Petition Convert to a Provisional Application Proprietary Information Proprietary Information Status Letter Other Enclosure(s) (please Identify below): 7 references Remarks							
under 37 CFR 1.52 or 1.53							
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Firm Todd Holmbo, Reg. No. 4 Individual name	2,665						
Signature	Signature						
Date 06/08/2005							
C	ERTIFIC	CATE OF TRANSMISSION	N/MAILING				
I hereby certify that this correspondence is be sufficient postage as first class mail in an enthe date shown below.							
Typed or printed name Debbie Jenkins							
Signature	Signature Date 06/08/2005						

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Renato Staub

Docket No.:

5333-3

Serial No.:

10/764,075

Examiner:

to be assigned

Filed:

March 26, 2004

Group Art Unit: 3627

Title: METHOD AND COMPUTER PROGRAM FOR TAX SENSITIVE INVESTMENT

PORTFOLIO MANAGEMENT

June 8, 2005

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97(c)

Sir:

In accordance with the duty of disclosure under 37 C.F.R. §1.56, applicant hereby notifies the U.S. Patent and Trademark Office of the following documents, which are listed on the attached PTO/SB/08A and PTO/SB/08B forms. The examiner may deem these documents to be relevant to patentability of the claims of the above-identified application. The submission of the listed documents is not intended as an admission that any of the documents constitute prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Applicants respectfully request that the listed documents be considered by the examiner and be made of record in the present application and that initialed a copy of forms PTO/SB/08A and PTO/SB/08B be returned in accordance with MPEP §609.

It is understood that no fee is necessary for submission of this Information Disclosure Statement, because it is being filed before the later of three months from the filing date or the mailing of the first Office Action on the merits.

The Commissioner is hereby authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account No. 02-4270.

Respectfully submitted,

Todd Holmbo Reg. No. 42,665

Attorney for Applicants

BROWN RAYSMAN MILLSTEIN

FELDER & STEINER LLP

163 Madison Avenue

P.O. Box 1989

Morristown, New Jersey 07962-1989

Telephone No. 973.775.8930

Facsimile No. 973.775.8901

BRMFS1 591919v1

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Substitute for form 1449/PTO

Sheet 1

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of 2

Complete if Known				
Application Number	10/810,107			
Filing Date	03/26/2004			
First Named Inventor	Renato Staub			
Art Unit	3627			
Examiner Name				
Attorney Docket Number	5333_3			

			U. S. PATEN	DOCUMENTS		
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ^{2 (* known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
-	1	^{US-} 6,484,151	11/19/2002	O'Shaughnessy		
	2	^{US-} 6,601,044	07/29/2003	Wallman		
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FOREIGN PATENT DOCUMENTS								
	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	Γ		
		Country Code ³ "Number ⁴ "Kind Code ⁵ (<i>if known</i>)	MM-DD-YYYY		Or Relevant Figures Appear	T ⁶		
	3.	WO 01/31538 A1	03/05/2001	Hoffman et al				
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Examiner	· · · · · · · · · · · · · · · · · · ·	Date	
Signature		Considered	

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Substitute for form 1449/PTO				Complete if Known		
0000				Application Number	10/810,107	
INFO	DRMATION	DIS	CLOSURE	Filing Date	03/26/2004	
STATEMENT BY APPLICANT			PPLICANT	First Named Inventor	Renato Staub	
	(llee se many cho	ote se n	acossand	Art Unit	3627	
(Use as many sheets as necessary)			ecessary)	Examiner Name		
Sheet	2	of	2	Attorney Docket Number	5333-3	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	4	United States Published Application No. 2003/0088492, entitled "Method and apparatus for creating and managing a visual representation of a portfolio and determining an efficient allocation	
	5	United States Published Application No. 2002/0138381, entitled "Individually managed accounts with multiple style allocations options	
	6	United States Published Application No. 2002/0138386, entitled "User interface for a financial advisory system	
	7	United States Published Application No. 2002/0174045, entitled "System, method, and computer program product for cost effective, dynamic allocation of assets among a plurality of investments	

Examiner			Date	
Signature	L	C	Considered	

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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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